

**Caltrans Statewide Small Business Council – Meeting Record**  
District 8 Office, 464 West 4<sup>th</sup> Street, San Bernardino, CA 92401  
July 17, 2015, 8:30 a.m. to 12:00 p.m.

Action/Task	Who is responsible/ presented	By when	Status
<b>A. Meeting called to order at 8:40 a.m.</b>	Angela Shell, Assistant Director, OBEO and Council Chair		
<b>B. Action Items to Date</b>	Chair Shell		
<b>Action Item from previous meetings:</b>			
<b>ACTION ITEM #3:</b> Chair Shell to take the language on insurance requirements presented by Ms. Llewellyn to Caltrans Legal and OE for review and feedback.	Chair Shell	9-18-15	<b>ASSIGNED</b> – work on this matter will continue with the Construction and DBE Participation Committees; update on progress at the September SBC meeting.
<b>Action Items from the September 2014 meeting</b>			
<b>Action Item #1:</b> SB/DVBE study by DGS distributed.	Tanya Little with Carole Ching	9-18-15	<b>ASSIGNED</b> – per Ms. Little, the report is not yet ready for distribution.
<b>Action Item #4:</b> SB set aside program – can it be done?	Ramon Carlos	9-18-15	<b>ASSIGNED</b> – L.A. Metro presented at the July SBC meeting; BART scheduled to present during the September SBC meeting.
<b>Action Item #8:</b> requesting the DBE certification workshop in webinar format.	Janice Salais	9-18-15	<b>ASSIGNED</b> – per Janice Salais, due to technical difficulties, the July roll out of the webinar had to be rescheduled; update during the September SBC meeting.
<b>Action Items from the November 2014 meeting</b>			
<b>Action Item #3:</b> review BART's SB set aside program to determine whether it would be feasible to apply it to Caltrans.	Ramon Carlos	9-18-15	<b>ASSIGNED</b> – this matter is related to Action Item #4, September 2014. Please refer to notes regarding Action Item #4.
<b>Action Item #4:</b> provide district reports presented by the District Directors online.	Ramon Carlos	7-17-15	<b>COMPLETED</b> – reporting template distributed to all District Small Business Liaisons; reports will be posted on the SBC web page after each regular council meeting.
<b>Action Item #6:</b> can SBs and DVBEs also be served by the DBE Supportive Services contractor?	Ramon Carlos	5-15-15	<b>COMPLETED</b> – OBEO is not able to include SB and DVBE on federally funded projects.
<b>Action Items from the March 2015 meeting</b>			
<b>Action Item #1:</b> provide a map of the Caltrans districts in the meeting packet.	Ramon Carlos	5-15-15	<b>COMPLETED</b> - placed in the SBC meeting packets since the May SBC meeting.

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<b>Action Item #6:</b> develop a joint effort between Districts 1, 2, and 3 to work on DBE participation.	DSBLs in Districts 1, 2, and 3 with Council Members in those areas	9-18-15	<b>ASSIGNED</b> – the three districts have begun to collaborate and have been working together on outreach events; further update during the September SBC meeting.
<b>Action Item #7:</b> define terms used in the commodities field.	Zeke Patten, Commodities Committee Chair	7-16-15	<b>COMPLETED</b> – DPAC’s revised brochure defines terms used in the commodities field.
<b>Action Item #9:</b> clarify the use of the OJT Supportive Services contract for training engineers in Caltrans construction management.	Ramon Carlos	7-17-15	<b>COMPLETED</b> – per FHWA, this program is specific to workforce in construction trades only, not for inspection and testing.
<b>Action Item #11:</b> develop a presentation on DBE goal setting (focused separately on construction and A&E) to be delivered during meetings of the Construction and Professional Services Committees.	Ramon Carlos	9-18-15	<b>ASSIGNED</b> – presentation provided to the Construction Committee; progress on A&E presentation continues; update during the September SBC meeting.
<b>Action Item #12:</b> provide updates on DVBE contract percentage requirements.	Bill Ulmer and Ramon Carlos	9-18-15	<b>ASSIGNED</b> – work continues on this Action Item; update during the September SBC meeting.
<b>Action Items from the May 2015 meeting</b>			
<b>Action Item #1:</b> map of Caltrans District Offices – include DBE physical location by ethnicity.	Ramon Carlos	7-17-15	<b>COMPLETED</b> – maps included in meeting packets.
<b>Action Item #2:</b> is it possible for the OJT/Supportive Services program to include inspection and materials testing?	Ramon Carlos	7-17-15	<b>COMPLETED</b> – see Action Item #6, November 2014.
<b>Action Item #3:</b> post the District Directors’ reports presented at SBC meetings online; post reports on individual district websites or provide the link to the reports on district websites.	Ramon Carlos & Carole Ching	9-18-15	<b>ASSIGNED</b> – on 6/11/15, council members were emailed the link to reports on the SBC web page; update on district links during the September SBC meeting.
<b>Action Item #4:</b> requested the council to provide industry contact information to Tanya Little, DGS.	Tanya Little	5-28-15	<b>COMPLETED</b> – industry contact information provided by Ramon Carlos.
<b>Action Item #5:</b> unbundle two (specifically mentioned) A&E contracts in District 11.	Lorna Rice and Angela Shell	7-17-15	<b>COMPLETED</b> – contracts have been unbundled to form five contracts; outreach event held to notify public.
<b>Action Item #6:</b> how can a non-DBE sub’s procurement from a DBE supplier be counted towards a project’s goal?	Ramon Carlos & Sherri Gastinell	9-18-15	<b>ASSIGNED</b> – work continues on this item; update during the September SBC meeting.
<b>Action Item #7:</b> provide the council with the list of commodities purchased that was initially given by DPAC to the Commodities Committee	Ramon Carlos & Carole Ching	9-18-15	<b>ASSIGNED</b> – update during the September SBC meeting.

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<b>Action Item #8:</b> contractor award process as guided by the Construction Committee.	Committee Co-Chairs Rebecca Llewellyn and Debbie Hunsaker with Ramon Carlos	9-18-15	<b>ASSIGNED</b> – update during the September SBC meeting.
<b>Action Item #9:</b> Council Member Bill Ulmer requested OBEO look into the ongoing solicitation for #51A0480.	Ramon Carlos	7-17-15	<b>COMPLETED</b> – no subcontractor availability for this particular contract.
<b>Action Item #10:</b> council members send information to OBEO on current and future outreach events presented by their respective trade associations/organizations; updated on a quarterly basis throughout the year.	Council Members	Each Quarter	<b>ASSIGNED</b> – ongoing; send information to Carole Ching.
<b>Action Items from the July 2015 meeting</b>			
<b>Action Item #1:</b> request for training – how to get contracts with Caltrans; in-depth training specific to the process of submitting proposals – would be especially helpful for African American businesses.	Ramon Carlos	9-18-15	<b>ASSIGNED</b> – update during the September SBC meeting.
<b>Action Item #2:</b> explore options to develop a District 7 only Small Business Council in the future.	Chair Shell	9-18-15	<b>ASSIGNED</b> – update during the September SBC meeting.
<b>Action Item #3:</b> request for a meeting involving Department of General Services (DGS), Caltrans Directors, and SBC members to discuss microbusiness (MB), small business (SB), and disabled veteran business enterprise (DVBE).	Chair Shell	9-18-15	<b>ASSIGNED</b> – update during the September SBC meeting.
<b>Action Item #4:</b> regarding the Disparity Study – is there a way to protect those who provide comment from possible negative repercussion?	Ramon Carlos	9-18-15	<b>ASSIGNED</b> – update during the September SBC meeting.
<b>Action Item #5:</b> examine what needs to be done to unbundle District 43 contracts.	Chair Shell	9-18-15	<b>ASSIGNED</b> – update during the September SBC meeting.
<b>Action Item #6:</b> notify the council members when the district reports are posted on the SBC web page.	Carole Ching	8-18-15	<b>COMPLETED</b> – email sent to council members with the link to the district reports posted on the SBC web page; council members will continue to be notified as soon as the reports are posted.
<b>Action Item #7:</b> provide a log of completed Action Items as a way to track the council's accomplishments.	Carole Ching	9-18-15	<b>ASSIGNED</b> – update during the September SBC.
<b>A. Agenda review and remarks – Chair Shell</b> Meeting packet review – these reports and district SB updates are available online through the OBEO website.			

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<b>B. Action Item review</b> – refer to Action Item list on pages 1 through 3 of this meeting record. <b>Comments:</b> <ol style="list-style-type: none"> <li>Re: Regional SBC for Districts 7, 8, and 12 – Council Member Eddy Lau understands the need for the regional council’s improvement, however, he supports development of a separate District 7 SBC as based on DBE availability.</li> <li>Re: African American DBE Work Group – council members cited the lack of participation by members.</li> </ol>			
<b>C. Highlights from the Director’s Office</b> – Malcolm Dougherty <ol style="list-style-type: none"> <li>MAP-21 funding has been extended through the end of this year. <ol style="list-style-type: none"> <li>Contract awards with FHWA have been impacted.</li> <li>This is the third short term extension; Caltrans expects more extensions, but it remains uncertain what will happen after the extensions expire.</li> <li>Re: state contracts – no new contracts until long term funding issues are resolved.</li> </ol> </li> </ol> <b>Discussion:</b> <ul style="list-style-type: none"> <li>Council Member Rebecca Llewellyn suggested council members communicate with lawmakers to support funding for transportation projects; better to respond as a whole.</li> <li>Council Member Stephen McGlover requested a meeting involving Department of General Services (DGS), Caltrans Directors, and SBC members to discuss microbusiness (MB), small business (SB), and disabled veteran business enterprise (DVBE).</li> <li>Mr. McGlover also requested to participate in the DGS Small Business Advisory Council.</li> </ul>			
<b>D. District 8 Report</b> – David Knudsen, Manager, EEO Office, Small Business & Disadvantage Business Enterprise Refer to Mr. Knudsen’s report posted on the OBEO web page.			
<b>E. District 4 Report</b> – Bijan Sartipi, Deputy District Director Refer to Mr. Sartipi’s report posted on the OBEO web page. <ol style="list-style-type: none"> <li>Mr. Sartipi provided explanations of Director’s Orders and District Director’s Orders.</li> <li>Mentor Protégé program – District 4 has developed a program that other districts are looking to follow.</li> </ol>			
<b>F. District Report 7 Report</b> – Shirley Choate, Chief Deputy Director <ol style="list-style-type: none"> <li>Introduced Maria Raptos, new Small Business Office Chief.</li> <li>Review of records – historical review to identify contracting trends and define staff expectations.</li> </ol>			
<b>G. District 10 Report</b> – Zelig Nogueira, Deputy District Director Refer to the District 10 report (Update and Look Ahead) on the OBEO web page.			
<b>H. District 3 Report</b> – Susan Elkins, Chief Deputy Director via phone bridge. Please refer to the District 3 report posted on the OBEO web page.			
<b>I. District 2 Report</b> – Becky Alexander, District Small Business Liaison Please refer to the District 2 report posted on the OBEO web page.			
<b>J. FHWA Update</b> – Richard Backlund <ol style="list-style-type: none"> <li>Spoke of the impact that funding has had on the nation.</li> <li>Drive Act – 6-year highway bill that focuses on freight.</li> <li>Praised the DBE map report from OBEO.</li> </ol>			

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4. Challenge in managing data from state and local agencies.			
5. Re: District 7 – partnering with the district to improve the regional partnership and exploring the potential development of a District 7 SBC.			
<b>K. DGS Update</b> – Tanya Little			
Report discussed to be posted on the DGS Business Development web page; Ms. Little will send the link to OBEO to distribute to council members.			
<b>L. Los Angeles Metro presentation</b> – Tashai Smith and Jerry Jacobson			
Refer to the PowerPoint handout that accompanied the presentation.			
Discussion:			
1. Can a firm bid on multiple projects – yes.			
2. Re: certification – there is no reciprocity agreement between DGS and LA Metro; LA Metro’s certification program is similar to Caltrans’; it is not like the program DGS provides in which firms can go through the certification process online.			
3. Re: DBE participation – nearly 75% of the firms involved with LA Metro are not DBEs.			
4. Re: NAICS code – LA Metro uses the 2300 series for construction.			
5. LA Metro’s database is available to external users.			
6. Re: monitoring according to DBE regulations – there are some exclusions, such as non-competitive procurements and master contracts. Compliance requirements are initially handled through the Contract Information System. Reports are generated on a monthly basis to track progress.			
<b>M. Meeting record approval</b>			
1. No changes to the meeting record.			
2. Motion to approve the meeting record for May 15, 2015, Council Member Eddy Lau; motion seconded by Council Member Stephen McGlover.			
3. The ayes have it, motion carried; the meeting record of May 15, 2015 is approved.			
<b>N. Committee Meeting Reports</b>			
<b>1. Construction</b> – Rebecca Llewellyn, Chair			
a. The committee requested another presentation of OBEO’s Goal Setting Methodology process.			
b. Prime contractor award – work in progress; narrowing down criteria, partnering, etc.			
c. Certified payroll concerns – necessary to provide social security numbers, but what security measures are in place to keep this information confidential.			
d. Prompt payment guide – work in progress.			
e. Insurance waiver of subrogation – discussed.			
f. Equipment rating schedule – requesting fleet rating at one time to assist in the prompt payment issue.			
g. New Disparity Study – participation by firms very necessary; urge members to get involved.			
<b>2. Local Assistance</b> – Rod Garcia, Chair			
a. Reviewed the committee’s Action Item list.			
b. Discussed the training on goal setting, especially as related to A&E contracts; included discussion on Design/Build program guidelines.			
c. Pilot program - for Construction projects less than \$2 million, including capture of information on DBE participation.			
d. Discussed random auditing.			

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<b>3. Professional Services – Eddy Lau, Chair</b> a. Esther Morris, DPAC, provided an informative presentation. b. Per SB 854, Department of Industrial Relations registration now applies to A&E contracts. c. Cal Mentor, District 4 mock presentation – Council Member Arvin Chaudhary provided; Bill Ulmer was given the presentation to promote; suggested it should be used by all DBEs. d. Disparity Study – for the period 2016 to 2018; noted the comment period is ending on July 31, 2015; discussed vulnerability of DBEs that wish to comment, importance of maintaining anonymity. e. Discussed the successful execution of unbundling contracts in District 11 – this matter was initially called to the attention of the District 11 Administration by the committee. f. Outreach event at District 43 HQ – discussed unbundling contracts in District 7.			
<b>4. Commodities – Zeke Patten, Co-Chair</b> a. Discussed GFE process. b. Re: AB 351 – hard goals on SB participation vs. aspirational goals. c. Requested list of commodities purchased by DGS through annual contracts. d. Requested posting of the list of purchases made by Caltrans HQ and districts. e. Requested a list of the SBC's past accomplishments. f. Discussed development of a commodities-focused mentor program.			
<b>O. Ad Hoc Committee report – African American DBE Participation – Eddy Lau, Chair</b> Council Members Zeke Patten and Stephen McGlover are looking to develop a new program in southern California that will increase participation of African American owned DBEs.			
<b>P. New Business</b> 1. Chair Shell reviewed the Action Items for July; refer to page 3 of this document. 2. No other new business raised.			
<b>Q. Public Comment</b> 1. Council Member Chris Chavez reiterated the need for a commodities-focused mentor program. 2. Steven Koch – recognized work of SANDAG; suggested the SBC highlight whenever a new subcontractor is utilized by a prime. 3. What is the current status of the DBE Supportive Services contract?			
<b>Meeting adjourned</b> – motion to adjourn, Mr. Lau; seconded by Ms. Hunsaker; ayes have it. Meeting adjourned at 11:47 a.m.			
<b>Next meeting: September 18, 2015</b> , District 4 Office, Oakland	Carole Ching to notify SBC members with further details.	8-12-15	<b>COMPLETED</b> – email sent to council members regarding meeting date, time, location, and accommodations arrangements.

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**DOCUMENTS included in the meeting packet/distributed at the meeting:**

- Meeting agenda
- Draft of meeting record, May SBC meeting
- Award Tracker Report, June 2015, Office Engineer
- Report, OBEO, Disabled Veteran Business Enterprise Commitment at Award, State Funded Contracts, May 2015
- DBE participation on federally funded major construction contracts, 10/1/14 to 5/31/15
- DBE participation on federally funded A&E and Minor B contracts, 10/1/14 to 5/31/15
- DBE commitment at award by district, federal-aid major construction contracts, federal fiscal year 2015, YTD 10/1/14 to 5/31/15
- Caltrans District Map with number of certified DBEs with physical address in district area
- LA Metro PowerPoint presentation handout
- District 2 Small Business Update
- District 3/North Region Small Business Update
- District 4 Small Business Update
- District 6 Small Business Update
- District 7 Small Business Utilization Report, June 2015; District 7 2-Year Look Ahead Report; District 7 flier, A&E Contracts/Consultant Outreach, 8/6/15
- District 8 Small Business Update
- District 9 Small Business Update
- District 10 Small Business Update; District 10 Construction Look Ahead
- District 11 Small Business Update
- District 12 Small Business Update; District 12 Look Ahead Report

**PRESENT**

**Council Members:**

- |                                       |                                       |
|---------------------------------------|---------------------------------------|
| 1. Ajiake, Matthew                    | 7. Fowler, Rick                       |
| 2. Chaudhary, Arvin                   | 8. Garcia, Brenna Butler              |
| 3. Chen, Lynn                         | 9. Halm, Eric                         |
| 4. Churchwell, Dr. Caesar (Alternate) | 10. Hou, Johnathan                    |
| 5. Cunningham, Lee (Teleconference)   | 11. Hunsaker, Debbie (Teleconference) |
| 6. Diaz, Juan (Alternate)             | 12. Lau, Eddy                         |
|                                       | 13. Llewellyn, Rebecca                |



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14. Stephen McGlover
15. Leonard Ortiz (Teleconference)
16. Patten, Zeke
17. Stone, Aubry
18. Yu, Ming Chen (Alternate)

### **Caltrans Staff:**

1. Shell, Angela, Assistant Director, OBEO & Council Chair
2. Dougherty, Malcolm, Director
3. Alexander, Rebecca, District 2 (Teleconference)
4. Backlund, Richard, FHWA
5. Carlos, Ramon, OBEO
6. Ching, Carole, OBEO
7. Choate, Shirley, District 7
8. Deselle, Ray, District 8
9. Elkins, Susan, District 3 (Teleconference)
10. Gustinell, Sherri, OBEO
11. Knudsen, David, District 8
12. Little, Tanya, DGS
13. Nogueira, Zelig, District 10
14. Pearsall, Alicia, OBEO
15. Philippon, Elizabeth, District 8
16. Raptis, Maria, District 7
17. Salais, Janice, OBEO
18. Sartipi, Bijan, District 4
19. Strough, Kevin, District 8
20. Yeung, Sean, District 8, Local Assistance
21. Zhang, Ray, Local Assistance

1. Butler, Derf, San Francisco Black Chamber of Commerce
2. Darion, Bruce, SoCal Small Business Council
3. Ellison, Willie, Black Chamber of Commerce
4. Jacobson, Jerry, L.A. Metro
5. Jaque, Fabiola, SoCal Small Business Council
6. Koch, Steven, MTGL Testing Labs
7. Sha, Donald, RC Small Business Council
8. Smith, Tashai, L.A. Metro
9. Wallace, Rich, Black Chamber of Commerce

### **Guests:**